

# COPY

PATENT  
4003.002300

## DECLARATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or the below named inventors are the original, first and joint inventors (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **Estrogen Receptor Site-Specific Ribozymes and Uses Thereof for Estrogen Dependent Tumors**, the Specification of which:

☐

is attached hereto.

☒

was filed on **December 4, 2001** as Application Serial No. **10/009,420**.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims.

I acknowledge the duty to disclose to the Patent and Trademark Office all information known to me to be material to patentability of the subject matter claimed in this application, as "materiality" is defined in Title 37, Code of Federal Regulations, § 1.56.

I hereby claim priority benefits under Title 35, United States Code, § 119 and/or § 365 of any foreign application(s) for patent or inventor's certificate, PCT international application(s), and United States provisional application(s), listed below and have also identified below any foreign application for patent or inventor's certificate, PCT international application, or United States provisional application, having a filing date before that of the application on which priority is claimed:

PRIORITY APPLICATION(S)			Priority Claimed
PCT/US00/15243	PCT	June 2, 2000	Yes
(Number)	(Country)	(Date Filed)	Yes/No
60/137,470	USA	June 4, 1999	Yes
(Number)	(Country)	(Date Filed)	Yes/No

I hereby claim the benefit under Title 35, United States Code, § 120 and/or § 365 of any United States application(s) and PCT international application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose all information known to me to be material to patentability of the subject matter claimed in this application, as "materiality" is defined in Title 37, Code of Federal Regulations, § 1.56, which becomes available between the filing date of the prior application and the national or PCT international filing date of this application:

N/A

(Application Serial No.)	(Filing Date)	(Status)
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(Application Serial No.)	(Filing Date)	(Status)
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I hereby direct that all correspondence and telephone calls be addressed to Shelley P.M. Fussey, Williams. Morgan & Amerson, P.C., 7676 Hillmont, Suite 250, Houston, Texas 77040, (713) 934-7000.

I hereby declare that all statements made of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Inventor's Full Name:	Arun	K.	Roy
Inventor's Signature:	<i>Arun K. Roy</i>		
Country of Citizenship:	U.S.A.	Date:	3-25-02
Residence Address: (street, number, city, state, and/or country)	8415 Fredericksburg Roan, Unit #1006 San Antonio, Texas 78229		
Post Office Address: (if different from above)			

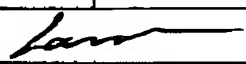
Inventor's Full Name:	Yan		Lavrovsky
Inventor's Signature:			
Country of Citizenship:	Russia	Date:	
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			

Inventor's Full Name:	Rakesh	K.	Tyagi
Inventor's Signature:			
Country of Citizenship:	India	Date:	
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			

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Inventor's Full Name:	Arun	K.	Roy
Inventor's Signature:			
Country of Citizenship:	U.S.A.	Date:	
Residence Address: (street, number, city, state, and/or country)	8415 Fredericksburg Roan, Unit #1006 San Antonio, Texas 78229		
Post Office Address: (if different from above)			

Inventor's Full Name:	Yan		Lavrovsky
Inventor's Signature:			
Country of Citizenship:	<del>Russia</del> USA YL	Date: January 14, 2002	
Residence Address: (street, number, city, state, and/or country)	159 St. Julien Street 1218 Plan-les-Ouates Geneva, Switzerland		
Post Office Address: (if different from above)	office phone: +41 22 706 9714 e-mail: Yan.Lavrovsky@serono.com		

Inventor's Full Name:	Rakesh	K.	Tyagi
Inventor's Signature:			
Country of Citizenship:	India	Date:	
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			

I hereby direct that all correspondence and telephone calls be addressed to Shelley P.M. Fussey, Williams, Morgan & Amerson, P.C., 7676 Hillmont, Suite 250, Houston, Texas 77040, (713) 934-7000.

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Inventor's Full Name:	Arun	K.	Roy
Inventor's Signature:			
Country of Citizenship:	U.S.A.	Date:	
Residence Address: (street, number, city, state, and/or country)	8415 Fredericksburg Roan, Unit #1006 San Antonio, Texas 78229		
Post Office Address: (if different from above)			

Inventor's Full Name:	Yan		Lavrovsky
Inventor's Signature:			
Country of Citizenship:	Russia	Date:	
Residence Address: (street, number, city, state, and/or country)			
Post Office Address: (if different from above)			

Inventor's Full Name:	Rakesh	K.	Tyagi
Inventor's Signature:	Rakesh Kumar Tyagi		
Country of Citizenship:	India	Date:	8th Feb. 2002
Residence Address: (street, number, city, state, and/or country)	T-109, OLD TRANSIT HOUSE, DAKSHINAPURAM, JAWAHARLAL NEHRU UNIVERSITY NEW DELHI - 110067, INDIA		
Post Office Address: (if different from above)			

Inventor's Full Name:	Chung	S.	Song
Inventor's Signature:	<i>Chung Song</i>		
Country of Citizenship:	USA	Date:	3/28/02
Residence Address: (street, number, city, state, and/or country)	15023 Northern Dancer San Antonio, Texas 78248		
Post Office Address: (if different from above)			

Inventor's Full Name:	Bandana		Chatterjee
Inventor's Signature:	<i>Bandana Chatterjee</i> 3/28/02		
Country of Citizenship:	USA	Date:	3/28/02
Residence Address: (street, number, city, state, and/or country)	8415 Fredericksburg Road, #201 San Antonio, Texas 78229		
Post Office Address: (if different from above)			

Inventor's Full Name:	Shuo		Chen
Inventor's Signature:	<i>Shuo Chen</i>		
Country of Citizenship:	China	Date:	3-28-02
Residence Address: (street, number, city, state, and/or country)	7458 Louis Pasteur, #504 San Antonio, Texas		
Post Office Address: (if different from above)			

**COPY****PATENT****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE****In re Application of:**

**Arun K. Roy, Yan Lavrovsky, Rakesh K.  
Tyagi, Chung S. Song, Bandana Chatterjee  
and Shuo Chen**

**Group Art Unit: Unknown****Examiner: Unknown****Serial No.: 10/009,420****Atty. Dkt. No.: 4003.002300****Filed: December 4, 2001**

**For: Estrogen Receptor Site-Specific Ribozymes  
and Uses Thereof for Estrogen Dependent  
Tumors**

**ELECTION UNDER 37 C.F.R. §§ 3.71 AND 3.73  
AND POWER OF ATTORNEY**

**Assistant Commissioner for Patents  
Washington, D.C. 20231**

**Sir:**

The undersigned, being Assignee of record of the entire interest in the above-identified application by virtue of an assignment recorded in the United States Patent and Trademark Office as set forth below, hereby elects, under 37 C.F.R. § 3.71, to prosecute the application to the exclusion of the inventors.

The Assignee hereby revokes any previous Powers of Attorney and appoints:

Danny L. Williams, Reg. No. 31,892; Terry D. Morgan, Reg. No. 31,181; J. Mike Amerson, Reg. No. 35,426; Kenneth D. Goodman, Reg. No. 30,460; Jeffrey A. Pyle, Reg. No. 34,904; Ruben S. Bains, Reg. No. 46,532; Scott F. Diring, Reg. No. 35,119; George J. Oehling, Reg. No. 40,471; Shelley P.M. Fussey, Reg. No. 39,458; Mark D. Moore, Reg. No. 42,903; Louis H. Iselin, Reg. No. 42,684; Raymund F. Eich, Reg. No. 42,508; Daren C. Davis, Reg. No. 38,425; and Stephanie A. Wardwell, Reg. No. 48,025;

each an attorney or agent of the firm of WILLIAMS, MORGAN & AMERSON, P.C., as its attorney or agent for so long as they remain with such firm, with full power of substitution and revocation, to prosecute the application, to make alterations and amendments therein, to transact all business in the Patent and Trademark Office in connection therewith, and to receive any Letters Patent, and for one year after issuance of such Letters Patent to file any request for a certificate of correction that may be deemed appropriate.

Pursuant to 37 C.F.R. § 3.73, the undersigned has reviewed the evidentiary documents, specifically the Assignment to Board of Regents, The University of Texas System, referenced below, and certifies that to the best of my knowledge and belief, title remains in the name of the Assignee.

Please direct all communications as follows:

Shelley P.M. Fussey  
WILLIAMS, MORGAN & AMERSON, P.C.  
7676 Hillmont, Suite 250  
Houston, Texas 77040  
(713) 934-7000

ASSIGNEE:  
Board of Regents, The University  
of Texas System

By: 

Name: Cullen M. Godfrey  
Title: Vice Chancellor and  
General Counsel

Date: April 9, 2002

ASSIGNMENT:

- ☒ Concurrently filed  
☐ Previously recorded

Date: \_\_\_\_\_

Reel: \_\_\_\_\_

Frames: \_\_\_\_\_

**COPY**

UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner of Patents and Trademarks  
 United States Patent and Trademark Office  
 Washington, DC 20503  
 www.uspto.gov

U.S. APPLICATION NUMBER NO	FIRST NAMED APPLICANT	ATTY DOCKET NO
10/009,420	Arun K. Roy	4003.002300

INTERNATIONAL APPLICATION NO	
PCT/US00/15243	
LA FILING DATE	PRIORITY DATE
06/02/2000	

Shelley P M Fussey  
 Williams Morgan & Amerson  
 7676 Hillmont  
 Suite 250  
 Houston, TX 77040

DOCKETED ☒ [ ]  
 Previously ☐ Not ☐  
 Appl. Info ☐  
 Applicant Info ☐  
 Agent Required ☒ *Notice of Missing*  
*Requirements* ☒ *Sequence Listing*  
 Date Entry Done: *5-3-03*  
 By: *S* Checked *f*

CONFIRMATION NO. 2376

371 FORMALITIES LETTER



"0000000007583804"

Date Mailed: 03/08/2002

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Indication of Small Entity Status
- Copy of IPE Report
- Copy of the International Application
- Copy of the International Search Report
- Preliminary Amendments
- Request for Immediate Examination
- Substitute Specification

DOCKETING DEPT

MAR 18 2002

WILLIAMS, MORGAN &amp; AMERSON

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the international application number and international filing date.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

The following items **MUST** be furnished within the period set forth below:

- The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the



requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):

- This application does not contain a "Sequence Listing" as a separate part of the disclosure on paper copy or compact disc, as required by 37 CFR 1.821(c).
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e).
- **APPLICANT MUST PROVIDE:**
  - An initial or substitute computer readable form (CRF) of the "Sequence Listing."
  - An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.

- For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase Patent Software, call (703) 308-2800
- For Patent Software Program Help, call (703) 308-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

- This application does not contain a "Sequence Listing" as a separate part of the disclosure on paper copy or compact disc, as required by 37 CFR 1.821(c).
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

ANITA D JOHNSON

Telephone: (703) 305-3661

**PART 1 - ATTORNEY/APPLICANT COPY**

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY DOCKET NO
10/009,420	PCT/US00/15243	4003.002300